

**U.S. District Court  
District of Columbia (Washington, DC)  
CIVIL DOCKET FOR CASE #: 1:19-cv-00640-ABJ**

NEW YORK STOCK EXCHANGE LLC v. SECURITIES  
AND EXCHANGE COMMISSION

Assigned to: Judge Amy Berman Jackson  
Cause: 05:552 Freedom of Information Act

Date Filed: 03/07/2019

Jury Demand: None

Nature of Suit: 895 Freedom of  
Information Act

Jurisdiction: U.S. Government Defendant

**Plaintiff**

**NEW YORK STOCK EXCHANGE  
LLC**

represented by **Christina Marleen Carroll**  
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**ATTORNEY TO BE NOTICED**

V.

**Defendant**

**SECURITIES AND EXCHANGE  
COMMISSION**

represented by **William Smith Greig**  
U.S. SECURITIES & EXCHANGE  
COMMISSION  
100 F Street, NE  
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Date Filed	#	Docket Text
03/07/2019	<u>1</u>	COMPLAINT against SECURITIES AND EXCHANGE COMMISSION ( Filing fee \$ 400 receipt number 0090-5987153) filed by NEW YORK STOCK EXCHANGE LLC. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Civil Cover Sheet, # <u>4</u> Summons (to: Securities and Exchange Commission), # <u>5</u> Summons (to: U.S. Attorney General), # <u>6</u> Summons (to: U.S. Attorney for the District of Columbia))(Carroll, Christina) (Entered: 03/07/2019)
03/07/2019	<u>2</u>	LCvR 26.1 CERTIFICATE OF DISCLOSURE of Corporate Affiliations and Financial Interests by NEW YORK STOCK EXCHANGE LLC (Carroll, Christina) (Entered: 03/07/2019)
03/07/2019		Case Assigned to Judge Amy Berman Jackson. (zef, ) (Entered: 03/07/2019)

03/07/2019	<u>3</u>	SUMMONS (3) Issued Electronically as to SECURITIES AND EXCHANGE COMMISSION, U.S. Attorney and U.S. Attorney General. (Attachments: # <u>1</u> Notice and Consent)(zef, ) (Entered: 03/07/2019)
03/08/2019	<u>4</u>	NOTICE of Appearance by Douglas W. Henkin on behalf of NEW YORK STOCK EXCHANGE LLC (Henkin, Douglas) (Entered: 03/08/2019)
03/13/2019	<u>5</u>	RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed as to the United States Attorney. Date of Service Upon United States Attorney on 3/8/2019. ( Answer due for ALL FEDERAL DEFENDANTS by 4/7/2019.), RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed. SECURITIES AND EXCHANGE COMMISSION served on 3/7/2019 (Attachments: # <u>1</u> Affidavit of Service (SEC))(Henkin, Douglas) (Entered: 03/13/2019)
03/19/2019	<u>6</u>	RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed on United States Attorney General. Date of Service Upon United States Attorney General 03/11/2019. (Carroll, Christina) (Entered: 03/19/2019)
04/08/2019	<u>7</u>	NOTICE of Appearance by William Smith Greig on behalf of SECURITIES AND EXCHANGE COMMISSION (Greig, William) (Entered: 04/08/2019)
04/08/2019	<u>8</u>	ANSWER to Complaint by SECURITIES AND EXCHANGE COMMISSION.(Greig, William) (Entered: 04/08/2019)